



JUDICIAL COUNCIL OF CALIFORNIA

455 Golden Gate Avenue • San Francisco, California 94102-3688

www.courts.ca.gov

REPORT TO THE JUDICIAL COUNCIL

Item No.: 20-050

For business meeting on: July 24, 2020

Title

Trial Courts: Trial Court Trust Fund Funds
Held on Behalf of the Trial Courts

Agenda Item Type

Action Required

Effective Date

July 24, 2020

Rules, Forms, Standards, or Statutes Affected

None

Date of Report

June 28, 2020

Recommended by

Fiscal Planning Subcommittee of the Trial
Court Budget Advisory Committee
Hon. Jonathan B. Conklin, Chair

Contact

Catrayel Wood, 916-643-7008
Catrayel.Wood@jud.ca.gov

Executive Summary

The Fiscal Planning Subcommittee of the Trial Court Budget Advisory Committee recommends approving six amended requests from five trial courts for Trial Court Trust Fund funds to be held on behalf of the trial courts. Under the Judicial Council–adopted process, a court may request reduced funding as a result of a court’s exceeding the 3 percent fund balance cap, to be retained in the Trial Court Trust Fund for the benefit of that court.

Recommendation

Based on actions taken at its meetings on May 21, 2020, the Fiscal Planning Subcommittee of the Trial Court Budget Advisory Committee recommends that the Judicial Council, effective July 24, 2020:

1. Approve the following amended requests totaling \$1,891,503 (Attachment A):
 - a. Superior Court of Sierra County request of \$15,346, which increases its original request of \$12,457 by \$2,889 for new furniture (Attachment B);
 - b. Superior Court of Sierra County request of \$21,732, which decreases its original request of \$24,621 by \$2,889 for facility repairs and maintenance; (Attachment C)

- c. Superior Court of Napa County request to amend the fiscal year to expend the remaining \$14,038 balance of its original \$418,000 request from 2019–20 to 2020–21 for a case management system (CMS) (Attachment D);
- d. Superior Court of San Benito County request to add \$98,824 to its original \$415,801 request for a CMS, and to revise the fiscal years for expenditure to \$205,850 in 2019–20, \$154,387.50 in 2020–21, and \$154,387.50 in 2021–22 (Attachment E);
- e. Superior Court of Sutter County request to amend the fiscal year to expend the balance of its \$245,112 request for a CMS from 2019–20 to 2020–21 (Attachment F); and
- f. Superior Court of Kern County request to amend the fiscal year to expend its \$676,688 request for a CMS from 2019–20 to 2021–22 (Attachment G).

Relevant Previous Council Action

On April 15, 2016, the council approved the Trial Court Budget Advisory Committee’s recommended process, criteria, and required information for trial courts to request that Trial Court Trust Fund (TCTF)–reduced allocations related to the 1 percent fund balance cap be retained in the TCTF as restricted fund balance for the benefit of those courts.¹ This retention allows the courts to prudently plan for and fund necessary court infrastructure projects such as technology or infrastructure improvements; facilities maintenance and repair allowed under California Rules of Court, rule 10.810; court efficiencies projects; and other court infrastructure projects that would not be possible as an unintended consequence of the 1 percent fund balance cap.

The criterion for eligibility is that a court have significant court expenditures that cannot be financed within its annual budget. The submission, review, and approval process and the allowance for additional appropriate terms and conditions are consistent with the process for supplemental funding requests.

The requirements for submission of a Funds Held on Behalf request are intended to ensure that the council is aware of use of funds in excess of the fund balance cap and has given its explicit approval. Post-completion reporting and audit requirements provide final review of the plans and their adherence to the approved purpose. Requests approved by the council since policy development are shown in the table below:

¹ Judicial Council of Cal., Advisory Com. Rep., *Trial Court Allocations: Trial Court Reserves Held in the Trial Court Trust Fund* (Mar. 25, 2016), <https://jcc.legistar.com/View.ashx?M=F&ID=4378277&GUID=57D6B686-EA95-497E-9A07-226CA724ADCB>.

Fund Balance Year	# of Trial Courts	Amount
2015–16	15	\$8.3 Million
2016–17	13	\$6.9 Million
2017–18	12	\$1.7 Million
2018–19	10	\$6.1 Million

In January 2020, the Judicial Council adopted the Trial Court Budget Advisory Committee’s recommendation to adopt revisions to the Judicial Council–Approved Process, Criteria, and Required Information for Trial Court Trust Fund Fund Balance Held on Behalf of the Courts, including streamlining the submission schedule, making a change to the recipient of the request, and providing language corrections to better align with court year-end closing, trial court allocation offsets, and requests to amend previously reviewed requests.²

Analysis/Rationale

A TCTF fund balance held on behalf of the trial courts allows the courts to meet contractual obligations and fund necessary court infrastructure projects, such as technology improvements or infrastructure, rule 10.810–allowable facilities maintenance and repair, court efficiencies projects, and other court infrastructure projects in which the work extends beyond the three-year term of the contract encumbrance.

Under Government Code section 77203,³ before June 30, 2014, a trial court could carry over all unexpended funds from the court’s operating budget from the prior fiscal year. Commencing June 30, 2014, and concluding June 30, 2019, a trial court could carry over unexpended funds in an amount not to exceed 1 percent of the court’s operating budget from the prior fiscal year. Commencing June 30, 2020, a trial court may carry over unexpended funds in an amount not to exceed 3 percent of the court’s operating budget from the prior fiscal year.

Government Code section 68502.5(c)(2)(A) requires the Judicial Council, when setting the allocations for trial courts, to set a preliminary allocation in July of each fiscal year. Further, in January of each fiscal year, after review of available trial court reserves as of June 30 of the prior fiscal year, the Judicial Council shall finalize allocations to trial courts. Each court’s finalized allocation shall be offset by the amount of reserves in excess of the amount authorized to be carried over under Government Code section 77203(b).

² Judicial Council of Cal., Advisory Com. Rep., *Updates to the Funds Held on Behalf of the Trial Courts Policy* (Jan. 17, 2020), <https://jcc.legistar.com/View.ashx?M=F&ID=7977186&GUID=6B519461-BD50-4F19-9B80-CD40F8FD64FE>.

³ Added as part of Senate Bill 1021 (Stats. 2012, ch. 41), later amended by SB 95 (Stats. 2019, ch. 36, § 2), effective June 27, 2019.

Policy implications

None.

Comments

This item did not circulate for comment and received no public comment.

Alternatives considered

Each court detailed specific alternatives in their attached applications. Overall, if the requests are not approved, the courts will either use other resources from their operating budgets, which in turn would cut into other resources, postpone implementation of the requested actions, or reduce services to the public.

Fiscal and Operational Impacts

Allocating the requested funds incurs no additional cost, and operational impacts are absorbed in Judicial Council staff workload. If the requests are not approved, the courts' budgets will be negatively affected as well as the courts' ability to adequately and efficiently serve the public.


Attachments and Links

1. Attachment A: Summary of Amended Requests, at page 1
2. Attachment B: Application—Request for Superior Court of Sierra County, at page 2
3. Attachment C: Application—Request for Superior Court of Sierra County, at page 5
4. Attachment D: Application—Request for Superior Court of Napa County, at page 8
5. Attachment E: Application—Request for Superior Court of San Benito County, at page 11
6. Attachment F: Application—Request for Superior Court of Sutter County, at page 30
7. Attachment G: Application—Request for Superior Court of Kern County, at page 47
8. Attachment H: *Summary of Recommended Process, Criteria, and Required Information for Trial Court Trust Fund Fund Balance Held on Behalf of the Courts*, at page 50

Table 1: Amended Requests for July 23—24, 2020 Judicial Council Meeting

Court	Request Number	Does Request Change \$\$ Amount?	If Yes - \$\$ Change +/-	Current Approved Requests by Fiscal Year					Amended Requests by Fiscal Year					Category	High-Level Summary	
				2017-18	2018-19	2019-20	2020-21	2021-22	2017-18	2018-19	2019-20	2020-21	2021-22			
Sierra	46-18-02-A1	Yes	2,889		12,457					15,346				Furniture	Purchase new furniture	
Sierra	46-18-01-A1	Yes	(2,889)		24,621					21,732				Facilities	Facility repairs and maintenance	
Napa	28-17-01-A1	No	-	418,000					332,319	21,504	50,139	14,038		IT	Case Management System	
San Benito	35-19-01-A1	Yes	98,824		415,801						205,850	154,388	154,388	IT	Case Management System	
Sutter	51-19-01-A1	No	-			200,000	45,112					245,112		IT	Technology improvements	
Kern	15-19-01-A5	No	-			676,688							676,688	IT	Case Management System	
98,824				418,000	452,879	876,688	45,112	-	332,319	58,582	255,989	413,538	831,076			
				1,792,679					1,891,503							
Difference Between Amended and Original Requests										98,824						

APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT

Please check the type of request:		
<input type="checkbox"/> NEW REQUEST (Complete Section I, III, and IV only.) <input checked="" type="checkbox"/> AMENDED REQUEST (Complete Sections I through IV.)		
SECTION I: GENERAL INFORMATION		
SUPERIOR COURT: <u>Click here to enter court</u> <u>Sierra</u>	PERSON AUTHORIZING REQUEST (Presiding Judge or Court Executive Officer): <u>Ann Mendez, Court Executive Officer</u>	
	CONTACT PERSON AND CONTACT INFO: <u>Jean-Anne Cheatham (530) 289-2901</u>	
DATE OF SUBMISSION: <u>8/7/2018</u> <u>Amended Date: 1/8/2020</u>	TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: JULY 1, 2018 TO JUNE 30, 2019	REQUESTED AMOUNT: <u>\$12,457 \$15,346\$</u>
REASON FOR REQUEST (Please briefly summarize the purpose for this request, including a brief description of the project/proposal. Use attachments if additional space is needed.): <u>The court is seeking permission to carry over currently encumbered funds of \$12,457 to continue and complete our furniture replacement project which is now in the final installation process. There was a delay in the installation process so the vendor will be invoicing the court in FY18/19 upon completion and therefore, the court is going to need these funds to pay for this project. Reducing the court's funding allocation by this amount will have a significant impact on the court's operational budget for FY18/19.</u>		
SECTION II: AMENDED REQUEST CHANGES		
A. Identify sections and answers amended. <u>Section I: Requested amount increased from \$12,457 to \$15,346. Court is requesting approval to redirect the remaining funds left over from FHOB request number #46-18-02-00 in the amount of \$2,889 to cover the additional costs of this project.</u>		
B. Provide a summary of the changes to the request. <u>Project costs exceeded planned budget. The actual costs were unknown during the original Funds Held application submission.</u>		
SECTION III: TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE		
A. Explain why the request does not fit within the court's annual operational budget process and the three-year encumbrance term. <u>The cost for this project is a major (one-time) expense for the court and does not fit within the Court's annual operational budget. The court does not have room on its budget to absorb a reduction in funding of this amount.</u>		

Formatted: Font color: Auto

Formatted: Font color: Auto

Formatted: Font color: Auto

Formatted: Font color: Auto

Formatted: Tab stops: 1.66", Left

Formatted: Font color: Auto

Formatted: Font color: Auto

Formatted: Font color: Auto

Formatted: Font color: Auto

Formatted: Font color: Auto

Formatted: Font color: Auto

Formatted: Font color: Auto

Formatted: Font color: Auto

APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT (Continued)

SECTION III (continued): TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE

- B. How will the request enhance the efficiency and/or effectiveness of court operations, and/or increase the availability of court services and programs?

Approval of this request will allow the court to upgrade the furnishings, which will enhance efficiencies, not only for court staff, but also in the reception/self-help area. We have created two areas, semi-separated for privacy, in the reception area for self-help assistance.

Formatted: Font: Not Bold

- C. If a cost efficiency, please provide cost comparison (table template provided).

- D. Describe the consequences to the court's operations if the court request is not approved.

If the request is not approved it will impact the court's budget in FY18/19 as the amount requested would result in a reduction in funding.

- E. Describe the consequences to the public and access to justice if the court request is not approved.

If the request is not approved it would affect the court's budget in FY18/19 and could impact operations as such.

- F. What alternatives has the court identified if the request is not approved, and why is holding funding in the TCTF the preferred alternative?

There are no alternatives, the court does not have funds.


SECTION IV: FINANCIAL INFORMATION

NOTE: ALL OF THE FUNDS ARE EXPECTED TO BE USED IN FY18/19

Please provide the following (*table template provided for each*):

- A. Three-year history of year-end fund balances, revenues, and expenditures
- B. Current detailed budget projections for the fiscal years the trial court would either be contributing to or receiving distributions from the TCTF fund balance held on the court's behalf
- C. Identification of all costs, by category and amount, needed to fully implement the project
- D. A specific funding and expenditure schedule identifying the amounts to be contributed and expended, by fiscal year

APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT

Please check the type of request:		
<input type="checkbox"/> NEW REQUEST (Complete Section I, III, and IV only.) <input checked="" type="checkbox"/> AMENDED REQUEST (Complete Sections I through IV.)		
SECTION I: GENERAL INFORMATION		
SUPERIOR COURT: Click here to enter court <u>Sierra</u>	PERSON AUTHORIZING REQUEST (Presiding Judge or Court Executive Officer): <u>Ann Mendez, Court Executive Officer</u>	
	CONTACT PERSON AND CONTACT INFO: <u>Jean-Anne Cheatham (530) 289-2901</u>	
DATE OF SUBMISSION: <u>6/29/2018</u> <u>Amended Date: 1/8/2020</u>	TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: <u>JULY 1, 2018 TO JUNE 30, 2019</u>	REQUESTED AMOUNT: <u>\$24,621</u> <u>\$21,732</u>
REASON FOR REQUEST (Please briefly summarize the purpose for this request, including a brief description of the project/proposal. Use attachments if additional space is needed.):		
<p><u>PO 4300006101 was issued in 2015 for \$8K payable to the JCC for the installation of a fire sprinkler head in the CEO office. This work was required due in part to the installation of an ADA restroom that was installed in the court offices by the JC Facilities. The JC Facilities ended up picking up the cost for the sprinkler head. JC Facilities paid the expense however that was unknown to the court. The court should not be penalized because it was unaware the cost was paid by another entity. It was not known until a later date this had occurred. The court wants to use these funds for work completed under CFR#3, created March 2018. The court was under the impression that we could use the \$8k towards the CFR#3 project.</u></p> <p><u>PO 4300006073 was issued in 2015 for \$72K payable to Placer County Superior Court for Network, CMS & Admin services based on a proposal for the implementation of hosting services. The actual costs ran less than proposed. However the court incurs monthly maintenance costs that will increase in the FY2018-2019. The court does have further and upcoming IT expenditures that the balance of this purchase order could be utilized for. The court respectfully requests that it be allowed to utilize these funds for valuable IT improvements that will ultimately improve access to the court for the public.</u></p>		
SECTION II: AMENDED REQUEST CHANGES		
<p>A. Identify sections and answers amended. <u>Section I: Requested amount decreased from \$24,621 to \$21,732.</u> <u>Court is requesting approval to redirect the remaining funds from this approved request in the amount of \$2,889 to cover the extra furniture costs indicated on the Amended request for FHOB request number #46-18-01,00.</u></p> <p>B. Provide a summary of the changes to the request. <u>Project costs ended up being less than originally calculated.</u></p>		
SECTION III: TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE		
<p>A. Explain why the request does not fit within the court's annual operational budget process and the three-year encumbrance term.</p> <p><u>Miscommunication regarding the process surrounding both PO's. We waited a long time for an invoice on the \$8K sprinkler head only to find out that Facilities worked w/Pride to cover the cost for that item. Then we misunderstood and thought that we could "move" the money from one project to another.</u></p>		

Formatted: Font color: Auto

Formatted: Font color: Auto

Formatted: Strikethrough

Formatted: Font color: Auto

Formatted: Font color: Auto

Formatted: Normal, Right: 0"

Formatted: Font color: Auto

Formatted: Font color: Auto

Formatted: Font color: Auto

Formatted: Font color: Auto

Formatted: Font color: Auto

Formatted: Font color: Auto

Formatted: Font color: Auto

Formatted: No bullets or numbering

Regarding the \$72K project, it was late getting underway therefore the first invoice was delayed and as such maintenance costs were not as high as projected.

Formatted: Indent: Left: 0"

Formatted: Indent: Left: 0"

The court needs these funds so that we can pay for the upgrades to Chambers. The court does not have sufficient funds for FY1819 to make the payments and will need to use the funds that were reserved.

Formatted: Indent: Left: 0"

APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT (Continued)

SECTION III (continued): TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE

- B. How will the request enhance the efficiency and/or effectiveness of court operations, and/or increase the availability of court services and programs?

The majority of the funds will be used to pay for hosting a platform for our new Case Management System (CMS). Our current CMS is showing signs of failure and technical support was discontinued years ago.

- C. If a cost efficiency, please provide cost comparison (table template provided).

NA

- D. Describe the consequences to the court's operations if the court request is not approved.

If this request is not approved, additional needed projects and improvements will not be accomplished to serve our community.- other planned court projects will need to be reevaluated and possibly shelved until a later date or completely written off due to available funding.

Formatted: Indent: Left: 0"

- E. Describe the consequences to the public and access to justice if the court request is not approved.

Required future projects, including upgrading audio/video in the courtroom, will not be able to be funded due to lack of carry-over fund balance. Future funds will be needed to pay for the upgrades to judge's chambers and the hosting of the new CMS; had we known the project would cost less than \$72K we would not have reserved this amount of funds.

Formatted: Indent: Left: 0"

- F. What alternatives has the court identified if the request is not approved, and why is holding funding in the TCTF the preferred alternative?

There are no alternatives, the court does not have funds.

SECTION IV: FINANCIAL INFORMATION

NOTE: ALL OF THE FUNDS ARE EXPECTED TO BE USED IN FY 18-19

Please provide the following (*table template provided for each*):

- A. Three-year history of year-end fund balances, revenues, and expenditures
- B. Current detailed budget projections for the fiscal years the trial court would either be contributing to or receiving distributions from the TCTF fund balance held on the court's behalf
- C. Identification of all costs, by category and amount, needed to fully implement the project
- D. A specific funding and expenditure schedule identifying the amounts to be contributed and expended, by fiscal year

Formatted: Underline

Formatted: Centered

APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT

Please check the type of request:

- ☐ **NEW REQUEST** *(Complete Section I, III, and IV only.)*
- ☒ **AMENDED REQUEST** *(Complete Sections I through IV.)*



SECTION I: GENERAL INFORMATION

SUPERIOR COURT:

Napa

PERSON AUTHORIZING REQUEST *(Presiding Judge or Court Executive Officer):*

Robert E. Fleshman

CONTACT PERSON AND CONTACT INFO:

Lisa Skinner 707-299-1248 lisa.skinner@napacourt.com

DATE OF SUBMISSION:

Click here to enter a date.

ORIGINAL 7/27/17

UPDATED 7/17/18

UPDATED 3/20/20

TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: 2016/17 FUNDS TO BE USED IN 2017/18, 2018/19, 2019/20, 2020/21

REQUESTED AMOUNT:

~~\$317,200~~

~~\$418,000~~

~~\$21,504 (Balance)~~

\$14,038 (P.O. Balance)

REASON FOR REQUEST *(Please briefly summarize the purpose for this request, including a brief description of the project/proposal. Use attachments if additional space is needed.):*

Prior Request (CMS Costs) - Three fiscal years ago (2013/14), the court entered into a collaborative agreement with Tyler Technologies to provide new Case Management Systems (CMS) for Napa, Monterey, and Santa Clara courts in the same project. The collaborative agreement was designed to share expertise among the courts, create a greater uniformity, and for all three courts to be able to share in some of the vendor costs, therefore reducing the overall costs to all three courts. During the project planning phases early in the project, Tyler determined that it did not have sufficient resources to meet the original timeline set out in the initially agreed upon project plan. Specifically, the implementation resources that Tyler needed to support all three courts were needed in one location at a time, and therefore we had to stagger the implementation of the first phase further out to give each of the courts more attention in the months both before and after our implementation dates. This caused significant delays in complete implementation of the system for all case types and pushed the completion of the project into the current fiscal year (2017/18). See amended requests for funds held from prior years.

In addition to the initial request described above, the court had planned for a number of Tyler CMS project related expenditures in FY 2016/17. These included costs related to:

- A. Technological enhancements necessary to keep the court from stepping backwards from the capabilities of its current CMS such as electronic reporting, interfaces with other local and state justice agencies, and attorney check-in system for the courtroom.

Current Request for 2020/21 (CMS Costs) – The court executed contracts and purchase orders for all CMS costs as described above. Some of the needed development could not be started until after we were fully functioning on the Tyler Odyssey (ODY) platform for criminal cases. Since we started using ODY for criminal cases in December 2017, we have accomplished all of the original work that we contracted for, with one exception. We have a contract with our IT vendor, Sierra Cedar Inc, from 2016/17, amended in 2017/18. We have spent all of the funds encumbered in this P.O. with the exception of the \$14,308 requested to be carried over into 2020/21. During the current 2019/20 fiscal year, Sierra Cedar notified the court that it is no longer providing IT professional services to the courts. Because of this, we are not able to complete our requests for additional development needed to have functionality and reporting capabilities that are not available to us currently. We will need to find a IT service provider and are requesting to take the \$14,038 that is currently encumbered and use those funds for their originally intended purpose with a new vendor in the 2020/21 fiscal year.

SECTION II: AMENDED REQUEST CHANGES

Attachment D

A. Identify sections and answers amended.

See Section I for updated request.

B. Provide a summary of the changes to the request.**Previous Request:**

Original Amount Held (CMS and Post Earthquake)	418,000
Amount Spent in 2017/18	332,319
P.O. Encumbrances Carried Forward into 2018/19	64,177
Balance to Request Held for 2018/19	21,504

Current Request:

Original Amount Held (CMS and Post Earthquake)	418,000
Amount Spent in 2017/18 – 2019/20	-403,962
Balance to Request Held to be re-encumbered with new vendor for 2020/21	14,038

SECTION III: TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE**A. Explain why the request does not fit within the court's annual operational budget process and the three-year encumbrance term.**

The money was encumbered with 2017/18 funds that we are not able to spend this year and are looking to roll over so we do not need to spend current year funding and so that the inability to spend the funds due to circumstances outside our control do not affect our 1% cap balance calculations from prior years.

APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT (Continued)**SECTION III (continued): TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE****B. How will the request enhance the efficiency and/or effectiveness of court operations, and/or increase the availability of court services and programs?**

The ability to have this development work completed will allow the court to expand CMS reporting capabilities for both internal use and statewide reporting.

C. If a cost efficiency, please provide cost comparison (table template provided).**D. Describe the consequences to the court's operations if the court request is not approved.****E. Describe the consequences to the public and access to justice if the court request is not approved.****F. What alternatives has the court identified if the request is not approved, and why is holding funding in the TCTF the preferred alternative?**

The court could use part of our 2020/21 TCTF allocation, but this would have negative impact to the court, as this would require us to return this \$14,038 back to the TCTF because of the 1% cap from prior years.

SECTION IV: FINANCIAL INFORMATION

Please provide the following (*table template provided for each*):

- A. Three-year history of year-end fund balances, revenues, and expenditures
- B. Current detailed budget projections for the fiscal years the trial court would either be contributing to or receiving distributions from the TCTF fund balance held on the court's behalf
- C. Identification of all costs, by category and amount, needed to fully implement the project

\$14,038 Professional IT services
- D. A specific funding and expenditure schedule identifying the amounts to be contributed and expended, by fiscal year

APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT

Please check the type of request:

☐ **NEW REQUEST** (Complete Section I, III, and IV only.)

☒ **AMENDED REQUEST** (Complete Sections I through IV.)



SECTION I: GENERAL INFORMATION

SUPERIOR COURT: San Benito	PERSON AUTHORIZING REQUEST (<i>Presiding Judge or Court Executive Officer</i>): Gil Solorio, Court Executive Officer	
	CONTACT PERSON AND CONTACT INFO: Gil Solorio (831) 636-4057 ext 211	
DATE OF SUBMISSION: 12/6/2019	TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: FY18-19 THROUGH FY 21-22	REQUESTED AMOUNT: \$514,625

REASON FOR REQUEST (*Please briefly summarize the purpose for this request, including a brief description of the project/proposal. Use attachments if additional space is needed.*):

The Court's request for \$415,801 was approved based on projections. The Court would like to amend this request after the 1% calculation is finalized and there would be an increase of \$98,824 to the previously approved amount.

In support of the technology goals of the Superior Court of California, County of San Benito ("Court"), the Court respectfully requests that the Judicial Council hold the requested amount on the Court's behalf. The requested amount will be used to make certain information technology upgrades, as further described below.

Additional Expenses related to Case Management System

The Court has received funding to replace its case management system ("CMS"), but anticipates that implementation costs will exceed the amount of the funding received. Through an Intra-branch Agreement ("IBA") signed in December 2017, and subsequently amended, the JCC agreed to fund approximately \$395,000 of implementation costs for the CMS. The Court would like to use multiyear savings to pay for one-time costs that remain after the IBA funds are fully depleted, as well as costs not allowed under the IBA. By way of example, multiyear savings could be used to pay for the creation of certain CMS interfaces to be used to communicate with judicial partners.

Computers

The Court is in the process of replacing outdated desktop computers and associated peripheral devices. According to technology experts, the typical lifespan of a business desktop computer is between three and five years. The Court's computers are, on average, significantly older.

Voice over Internet Protocol Telephone System

The Court is in the process of upgrading or replacing its Court current voice over Internet Protocol ("VoIP") phone system.

Digitization

The Court is in the process of initiating the digitization of physical case files held at an off-site storage facility. As part of the project, the Court will identify and digitize case files that must be retained. In addition, any case files that are beyond their retention period will be destroyed as part of the project. This project will reduce the Court's storage costs, and make the remaining case files more easily accessible to the Court and the public.

Courtroom Visual Displays

The Court is in the process of upgrading or replacing the visual display technology in the courtrooms, including the overflow courtroom. The projectors currently installed in the courtrooms are prone to mechanical failures, and require frequent repair and replacement of parts. The projectors are mounted to the ceiling with a housing that limits access, making repairs especially time consuming and expensive. As a consequence, the projectors are often unavailable for use by counsel.

SECTION II: AMENDED REQUEST CHANGES

- A. Identify sections and answers amended.
- B. Provide a summary of the changes to the request.

SECTION III: TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE

- A. Explain why the request does not fit within the court's annual operational budget process and the three-year encumbrance term.

All technology upgrades. Because of the time required to establish the specifications for the IT goods and services to be purchased, and the complexity of procuring the IT goods and services in compliance with the Judicial Branch Contracting Manual, the procurement process for the IT goods and services will extend past the end of the current fiscal year. Each of the technology upgrades involve significant one-time expenses that are not part of the Court's annual operational budget. The purchase price of the technology upgrades could not be met out of the Court's annual operational budget without making significant cuts that would result in diminished service to the public. In order to complete the technology upgrades, the Court must use multiyear savings.

Additional Expenses related to CMS. The Court anticipates that the implementation will extend beyond the three-year encumbrance term. In October 2017, the Superior Court of California, County of Plumas signed a Master Agreement with Journal Technologies, Inc. ("JTI") for case management software licensing, implementation, support, and maintenance. The Master Agreement provides for the participation of other California courts, allowing the courts to share expertise, create greater uniformity, and reduce costs. In September 2018, the Court signed a Participation Agreement under this Master Agreement. Pursuant to the Master Agreement, JTI will implement new case management systems for six California Superior Courts: Humboldt, Modoc, Plumas, Lake, Madera, and San Benito. Because of staffing issues, JTI is unable to implement case management systems at multiple courts simultaneously. Instead, JTI will launch the case management systems one court at a time. San Benito's implementation is scheduled to be the last of the six. San Benito's implementation was originally scheduled to be completed by April 2020, but the implementations at the other courts are already running behind schedule.

APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT (Continued)

SECTION III (continued): TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE

- B. How will the request enhance the efficiency and/or effectiveness of court operations, and/or increase the availability of court services and programs?

Additional Expenses related to CMS. The request will allow the Court to ensure the full implementation of a case management system that is up-to-date, is uniform with numerous other courts, and provides improved access to court services. The CMS interfaces will allow the Court to more efficiently communicate with justice partners such as law enforcement agencies and the Franchise Tax Board. The new case management system will, as a whole, improve Court staff's overall efficiency, and allow the Court to meet the needs of the public more effectively.

Computers, VoIP. Replacing the Court's computers, and upgrading or replacing the Court's VoIP phone system, will ensure that court operations continue without interruptions and delays.

Digitization. Currently, when a Court employee or member of the public wishes to access a case file held at the off-site storage facility, a retrieval process occurs. The Court must send a request to the storage facility, and a storage facility employee must find the relevant box in the warehouse, pull the relevant file, and send it to the Court. This process can take several days, and the storage facility charges a fee for each file located and sent. If the case files are digitized, Court employees and members of the public will be able to access the files much more quickly. This will improve the efficiency of court operations. To the extent that the project identifies files that may be destroyed, the project will allow the Court to save on storage fees and use those savings to provide services to the public.

Visual Displays. Currently, the projectors in the courtrooms are often out of service. As a result, counsel who wish to display visual or multimedia presentations as part of their cases must bring their own projectors into the courtroom. Court time is wasted as counsel sets up and trouble-shoots their projectors. The personal projectors used by counsel are not designed for use in a courtroom, and the presentations made using these personal projectors can be difficult to see from different parts of the courtroom. Upgrading or installing new visual displays will save Court time, and ensure that the presentations are visible to the judge, parties, counsel, jury, and the public present in the courtroom.

C. If a cost efficiency, please provide cost comparison (table template provided).

D. Describe the consequences to the court's operations if the court request is not approved.

Additional Expenses related to CMS. If the Court's request is not approved, the Court would have to shift funding to pay for implementation costs in excess of the IBA amount, or costs not allowed under the IBA. Any shift in funding will negatively affect court operations in the affected areas. The Court may be unable to implement the CMS interfaces, which will negatively affect the Court's ability to exchange information with key justice partners.

Computers. If the request is not approved, the Court will be unable to replace the computers. The existing computers will continue to degrade in performance and eventually fail, or become so outdated that they are unable to run the software required for use in the Court. This will cause interruptions and delays for Court employees, and disrupt court operations.

VoIP. If the request is not approved, the Court will be unable to upgrade or replace the VoIP phone system. As the existing phone system continues to age, the Court anticipates failures that could cause interruptions and delays for Court employees. These interruptions and delays could disrupt court operations.

Digitization. If the Court's request is not approved, the digitization project will not be completed. Court employees will not have improved access to the case files. In addition, the Court will continue to incur storage fees for the case files, both those that must be retained and those that could have been destroyed.

Visual Displays. If the Court's request is not approved, the projectors will not be upgraded or replaced with new visual displays. When the currently-installed projectors are out of service, as frequently occurs, Court time will continue to be wasted as counsel set up and troubleshoot their own personal projectors.

E. Describe the consequences to the public and access to justice if the court request is not approved.

Additional Expenses related to CMS. If the Court's request is not approved, the Court will be forced to shift funding as described in section III.D above. As a result, service to the public would be reduced, and access to justice would be negatively affected.

Computers, VoIP. If the request is not approved, the provision of services to the public could be subject to interruption and delay.

Digitization. If the Court's request is not approved, the public will still have access to the case files, but the retrieval process will remain slow, and the case files will not be easily searchable.

Visual Displays. If the Court's request is not approved, the currently-installed projectors will not be upgraded or replaced with new visual displays. When the currently-installed projectors are out of service, as frequently occurs, the visual and multimedia presentations made by counsel will continue to be difficult to see for some occupants of

F. What alternatives has the court identified if the request is not approved, and why is holding funding in the TCTF the preferred alternative?

All technology upgrades. Holding funding in the TCTF is the preferred alternative because the Court will be able to implement the technology upgrades and continue to provide a high level of service to the public.

Additional Expenses related to CMS. If the Court's request is not approved, the Court could (i) shift funding, as discussed in section III.D above, or (ii) forgo certain functionality, for example, by not implementing the CMS interfaces. Shifting funding would result in the negative consequences discussed in section III.E above. If the interfaces are not implemented, the Court's ability to communicate with key justice partners will be negatively affected.

Computers. If the request is not approved, the Court would have to replace the computers piecemeal, as they fail. This approach would require the Court to conduct multiple small procurements, consuming significantly more employee time. In addition, it is likely that the Court will have to pay a higher price per computer if the computers are replaced piecemeal, as the Court will be ineligible for any bulk discount. Funds would have to be moved from the Court's future operating budget, potentially resulting in diminished public service.

VoIP. If the request is not approved, the Court would have to defer upgrading or replacing the existing VoIP phone system, possibly until the existing phone system fails. In that case, the Court would likely have to shift funding from other Court priorities. In addition, if the procurement is delayed until the current VoIP system fails, the procurement process may be shortened, resulting in higher costs for the Court.

Digitization. If the Court's request is not approved, the Court will continue to store the physical files in the storage facility. The Court will continue to pay storage fees for all files, and one-time fees each time a file is retrieved.

Visual Displays. If the Court's request is not approved, the Court will not upgrade the projectors or replace them with new visual displays. As noted in sections III.D and III.E above, Court time will continue to be wasted as counsel set up and troubleshoot their own personal projectors, and the visual and multimedia presentations made by counsel will continue to be difficult to see for some occupants of the courtroom.

SECTION IV: FINANCIAL INFORMATION

Please provide the following (*table template provided for each*):

A. Three-year history of year-end fund balances, revenues, and expenditures

See attached excel workbook.

B. Current detailed budget projections for the fiscal years the trial court would either be contributing to or receiving distributions from the TCTF fund balance held on the court's behalf

See attached excel workbook.

C. Identification of all costs, by category and amount, needed to fully implement the project

See attached excel workbook.

D. A specific funding and expenditure schedule identifying the amounts to be contributed and expended, by fiscal year

See attached excel workbook.

If a cost efficiency, please provide cost comparison

Status Quo		Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼
GL Account	Description	Amount	Amount	Amount	Amount
N/A	Dedicated Revenue Stream (if applicable)				
900000	Salaries				
910000	Staff Benefits				
920001	General Expense				
924000	Printing				
925000	Telecommunications				
926000	Postage				
928000	Insurance				
929000	Travel in State				
931000	Travel Out of State				
933000	Training				
934000	Security				
935000	Facilities Operations				
936000	Utilities				
938000	Contracted Services				
940000	Consulting and Professional Services - County Provided				
943000	Information Technology (IT)				
945000	Major Equipment				
950000	Other Items of Expense				
972000	Other				
973000	Debt Service				
983000	Court Construction				
990000	Distributed Administration & Allocation				
Net Revenue (Expense)		-	-	-	-

Proposed Project					
GL Account	Description	Amount	Amount	Amount	Amount
N/A	Dedicated Revenue Stream (if applicable)				
900000	Salaries				
910000	Staff Benefits				
920001	General Expense				
924000	Printing				
925000	Telecommunications				
926000	Postage				
928000	Insurance				
929000	Travel in State				
931000	Travel Out of State				
933000	Training				
934000	Security				
935000	Facilities Operations				
936000	Utilities				
938000	Contracted Services				
940000	Consulting and Professional Services - County Provided				
943000	Information Technology (IT)				
945000	Major Equipment				
950000	Other Items of Expense				
972000	Other				
973000	Debt Service				
983000	Court Construction				
990000	Distributed Administration & Allocation				
Net Revenue (Expense)		-	-	-	-

Cumulative Cost Savings		-	-	-	-
--------------------------------	--	---	---	---	---

If a cost efficiency, please provide cost comparison

Status Quo		Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼
GL Account	Description	Amount	Amount	Amount
N/A	Dedicated Revenue Stream (if applicable)			
900000	Salaries			
910000	Staff Benefits			
920001	General Expense			
924000	Printing			
925000	Telecommunications			
926000	Postage			
928000	Insurance			
929000	Travel in State			
931000	Travel Out of State			
933000	Training			
934000	Security			
935000	Facilities Operations			
936000	Utilities			
938000	Contracted Services			
940000	Consulting and Professional Services - County Provided			
943000	Information Technology (IT)			
945000	Major Equipment			
950000	Other Items of Expense			
972000	Other			
973000	Debt Service			
983000	Court Construction			
990000	Distributed Administration & Allocation			
Net Revenue (Expense)		-	-	-

Proposed Project				
GL Account	Description	Amount	Amount	Amount
N/A	Dedicated Revenue Stream (if applicable)			
900000	Salaries			
910000	Staff Benefits			
920001	General Expense			
924000	Printing			
925000	Telecommunications			
926000	Postage			
928000	Insurance			
929000	Travel in State			
931000	Travel Out of State			
933000	Training			
934000	Security			
935000	Facilities Operations			
936000	Utilities			
938000	Contracted Services			
940000	Consulting and Professional Services - County Provided			
943000	Information Technology (IT)			
945000	Major Equipment			
950000	Other Items of Expense			
972000	Other			
973000	Debt Service			
983000	Court Construction			
990000	Distributed Administration & Allocation			
Net Revenue (Expense)		-	-	-

Cumulative Cost Savings		-	-	-
--------------------------------	--	---	---	---

Prior three-year history of year-end fund balances, revenues, and expenditures

FY 2015-16 ▼	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
Beginning Balance	211,923	45,761	-					257,685
Revenues	2,872,757	16,902	233,607					3,123,267
Expenditures	2,848,022	2,800	296,583					3,147,404
Operating Transfers In (Out)	(67,584)	2,173	65,411					-
Ending Fund Balance	169,075	62,036	2,436	-	-	-	-	233,547

FY 2016-17 ▼	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
Beginning Balance	169,075	62,036	2,436					233,547
Revenues	2,778,181	17,048	237,818					3,033,047
Expenditures	2,735,305	27,345	292,348					3,054,997
Operating Transfers In (Out)	(54,277)	2,182	52,095					-
Ending Fund Balance	157,675	53,921	-	-	-	-	-	211,596

FY 2017-18 ▼	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
Beginning Balance	157,675	53,921	-					211,596
Revenues	2,813,695	17,068	228,376					3,059,139
Expenditures	2,742,397	64,364	240,673					3,047,434
Operating Transfers In (Out)	(12,297)		12,297					-
Ending Fund Balance	216,676	6,625	-	-	-	-	-	223,301

Current detailed budget projections for the fiscal years the trial court would either be contributing to or receiving distributions from the TCTF fund balance held on the cc

	FY 2018-19		FUNDS					
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
REVENUES								
State Financing Sources	3,630,138	16,295						3,646,433
Grants			215,626					215,626
Other Financing Sources	65,914	686						66,600
TOTAL REVENUES	3,696,052	16,981	215,626	-	-	-	-	3,928,659
EXPENDITURES								
Salaries	1,366,921		121,059					1,487,980
Staff Benefits	761,019		71,498					832,517
General Expense	90,290		148					90,438
Printing	24,573							24,573
Telecommunications	9,982							9,982
Postage	26,088							26,088
Insurance	2,249							2,249
Travel in State	6,432		1,080					7,512
Travel Out of State								-
Training	420							420
Security	120							120
Facilities Operations	41,246							41,246
Utilities								-
Contracted Services	627,512	686	-					628,198
Consulting and Professional Services - County Provided	160							160
Information Technology (IT)	73,576							73,576
Major Equipment								-
Other Items of Expense	118							118
Juror Costs	2,756							2,756
Other	-							-
Debt Service	-							-
Court Construction	-							-
Distributed Administration & Allocation	(38,511)		38,511					-
Prior Year Expense Adjustment	-							-
TOTAL EXPENDITURES	2,994,950	686	232,296	-	-	-	-	3,227,932
Operating Transfers In (Out)	(16,670)		16,670					-
Fund Balance (Deficit)								
Beginning Balance (Deficit)	216,676	6,625	-					223,301
Ending Balance (Deficit)	901,108	22,920	-	-	-	-	-	924,028

Current detailed budget projection on court's behalf

	FY 2019-20		FUNDS					
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
REVENUES								
State Financing Sources	3,630,138	16,295	-					3,646,433
Grants	-	-	215,626					215,626
Other Financing Sources	65,914	686	-					66,600
TOTAL REVENUES	3,696,052	16,981	215,626	-	-	-	-	3,928,659
EXPENDITURES								
Salaries	1,503,613		133,165					1,636,778
Staff Benefits	837,121		78,648					915,769
General Expense	99,318							99,318
Printing	27,030							27,030
Telecommunications	10,980							10,980
Postage	28,697							28,697
Insurance	2,474							2,474
Travel in State	7,075		1,188					8,263
Travel Out of State	-							-
Training	462							462
Security	132							132
Facilities Operations	45,371							45,371
Utilities	-							-
Contracted Services	690,263							690,263
Consulting and Professional Services - County Provided	176							176
Information Technology (IT)	80,934							80,934
Major Equipment	-							-
Other Items of Expense	130							130
Juror Costs	3,032							3,032
Other	-							-
Debt Service	-							-
Court Construction	-							-
Distributed Administration & Allocation	(42,362)							(42,362)
Prior Year Expense Adjustment	-							-
TOTAL EXPENDITURES	3,294,445	-	213,001	-	-	-	-	3,507,446
Operating Transfers In (Out)								-
Fund Balance (Deficit)								
Beginning Balance (Deficit)	901,108	22,920	-	-	-	-	-	924,028
Ending Balance (Deficit)	1,302,715	39,901	2,625	-	-	-	-	1,345,241

Current detailed budget projection:

	FY 2020-21	FUNDS						
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
REVENUES								
State Financing Sources	3,630,138	16,295	-					3,646,433
Grants	-	-	215,626					215,626
Other Financing Sources	65,914	686	-					66,600
TOTAL REVENUES	3,696,052	16,981	215,626	-	-	-	-	3,928,659
EXPENDITURES								
Salaries	1,578,794		139,823					1,718,617
Staff Benefits	878,977		82,580					961,557
General Expense	104,284							104,284
Printing	28,381							28,381
Telecommunications	11,529							11,529
Postage	30,132							30,132
Insurance	2,598							2,598
Travel in State	7,429		1,247					8,676
Travel Out of State	-							-
Training	485							485
Security	139							139
Facilities Operations	47,639							47,639
Utilities	-							-
Contracted Services	724,776							724,776
Consulting and Professional Services - County Provided	185							185
Information Technology (IT)	84,980							84,980
Major Equipment	-							-
Other Items of Expense	136							136
Juror Costs	3,183							3,183
Other	-							-
Debt Service	-							-
Court Construction	-							-
Distributed Administration & Allocation	(44,480)							(44,480)
Prior Year Expense Adjustment	-							-
TOTAL EXPENDITURES	3,459,167	-	223,651	-	-	-	-	3,682,818
Operating Transfers In (Out)								-
Fund Balance (Deficit)								
Beginning Balance (Deficit)	1,302,715	39,901	2,625	-	-	-	-	1,345,241
Ending Balance (Deficit)	1,539,600	56,882	(5,399)	-	-	-	-	1,591,082

Current detailed budget projection:

	FY 2021-22		FUNDS					
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
REVENUES								
State Financing Sources	3,811,645	17,110	-					3,828,755
Grants	-	-	226,407					226,407
Other Financing Sources	69,210	720	-					69,930
TOTAL REVENUES	3,880,855	17,830	226,407	-	-	-	-	4,125,092
EXPENDITURES								
Salaries	1,705,097		151,009					1,856,106
Staff Benefits	949,295		89,187					1,038,482
General Expense	112,627							112,627
Printing	30,652							30,652
Telecommunications	12,452							12,452
Postage	32,542							32,542
Insurance	2,805							2,805
Travel in State	8,023		1,347					9,370
Travel Out of State	-							-
Training	524							524
Security	150							150
Facilities Operations	51,450							51,450
Utilities	-							-
Contracted Services	782,758							782,758
Consulting and Professional Services - County Provided	200							200
Information Technology (IT)	91,779							91,779
Major Equipment	-							-
Other Items of Expense	147							147
Juror Costs	3,438							3,438
Other	-							-
Debt Service	-							-
Court Construction	-							-
Distributed Administration & Allocation	(48,039)							(48,039)
Prior Year Expense Adjustment	-							-
TOTAL EXPENDITURES	3,735,901	-	241,543	-	-	-	-	3,977,443
Operating Transfers In (Out)								-
Fund Balance (Deficit)								
Beginning Balance (Deficit)	1,539,600	56,882	(5,399)	-	-	-	-	1,591,082
Ending Balance (Deficit)	1,684,554	74,712	(20,535)	-	-	-	-	1,738,731

Current detailed budget projection:

	Select Fiscal Year	FUNDS						
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
REVENUES								
State Financing Sources								-
Grants								-
Other Financing Sources								-
TOTAL REVENUES	-	-	-	-	-	-	-	-
EXPENDITURES								
Salaries								-
Staff Benefits								-
General Expense								-
Printing								-
Telecommunications								-
Postage								-
Insurance								-
Travel in State								-
Travel Out of State								-
Training								-
Security								-
Facilities Operations								-
Utilities								-
Contracted Services								-
Consulting and Professional Services - County Provided								-
Information Technology (IT)								-
Major Equipment								-
Other Items of Expense								-
Juror Costs								-
Other								-
Debt Service								-
Court Construction								-
Distributed Administration & Allocation								-
Prior Year Expense Adjustment								-
TOTAL EXPENDITURES	-	-	-	-	-	-	-	-
Operating Transfers In (Out)								-
Fund Balance (Deficit)								
Beginning Balance (Deficit)	1,684,554	74,712	(20,535)	-	-	-	-	1,738,731
Ending Balance (Deficit)	1,684,554	74,712	(20,535)	-	-	-	-	1,738,731

Current detailed budget projection:

	Select Fiscal Year	FUNDS						
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
REVENUES								
State Financing Sources								-
Grants								-
Other Financing Sources								-
TOTAL REVENUES	-	-	-	-	-	-	-	-
EXPENDITURES								
Salaries								-
Staff Benefits								-
General Expense								-
Printing								-
Telecommunications								-
Postage								-
Insurance								-
Travel in State								-
Travel Out of State								-
Training								-
Security								-
Facilities Operations								-
Utilities								-
Contracted Services								-
Consulting and Professional Services - County Provided								-
Information Technology (IT)								-
Major Equipment								-
Other Items of Expense								-
Juror Costs								-
Other								-
Debt Service								-
Court Construction								-
Distributed Administration & Allocation								-
Prior Year Expense Adjustment								-
TOTAL EXPENDITURES	-	-	-	-	-	-	-	-
Operating Transfers In (Out)								-
Fund Balance (Deficit)								
Beginning Balance (Deficit)	1,684,554	74,712	(20,535)	-	-	-	-	1,738,731
Ending Balance (Deficit)	1,684,554	74,712	(20,535)	-	-	-	-	1,738,731

Current detailed budget projection:

	Select Fiscal Year	FUNDS						
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
REVENUES								
State Financing Sources								-
Grants								-
Other Financing Sources								-
TOTAL REVENUES	-	-	-	-	-	-	-	-
EXPENDITURES								
Salaries								-
Staff Benefits								-
General Expense								-
Printing								-
Telecommunications								-
Postage								-
Insurance								-
Travel in State								-
Travel Out of State								-
Training								-
Security								-
Facilities Operations								-
Utilities								-
Contracted Services								-
Consulting and Professional Services - County Provided								-
Information Technology (IT)								-
Major Equipment								-
Other Items of Expense								-
Juror Costs								-
Other								-
Debt Service								-
Court Construction								-
Distributed Administration & Allocation								-
Prior Year Expense Adjustment								-
TOTAL EXPENDITURES	-	-	-	-	-	-	-	-
Operating Transfers In (Out)								-
Fund Balance (Deficit)								
Beginning Balance (Deficit)	1,684,554	74,712	(20,535)	-	-	-	-	1,738,731
Ending Balance (Deficit)	1,684,554	74,712	(20,535)	-	-	-	-	1,738,731

Current detailed budget projection:

	Select Fiscal Year	FUNDS						
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
REVENUES								
State Financing Sources								-
Grants								-
Other Financing Sources								-
TOTAL REVENUES	-	-	-	-	-	-	-	-
EXPENDITURES								
Salaries								-
Staff Benefits								-
General Expense								-
Printing								-
Telecommunications								-
Postage								-
Insurance								-
Travel in State								-
Travel Out of State								-
Training								-
Security								-
Facilities Operations								-
Utilities								-
Contracted Services								-
Consulting and Professional Services - County Provided								-
Information Technology (IT)								-
Major Equipment								-
Other Items of Expense								-
Juror Costs								-
Other								-
Debt Service								-
Court Construction								-
Distributed Administration & Allocation								-
Prior Year Expense Adjustment								-
TOTAL EXPENDITURES	-	-	-	-	-	-	-	-
Operating Transfers In (Out)								-
Fund Balance (Deficit)								
Beginning Balance (Deficit)	1,684,554	74,712	(20,535)	-	-	-	-	1,738,731
Ending Balance (Deficit)	1,684,554	74,712	(20,535)	-	-	-	-	1,738,731

Identification of all costs, by category and amount, needed to fully implement the project

Expenses Category		Amount
GL Account	Description	
900000	Salaries	154,388
910000	Staff Benefits	51,463
920001	General Expense	102,925
924000	Printing	-
925000	Telecommunications	-
926000	Postage	-
928000	Insurance	-
929000	Travel in State	-
931000	Travel Out of State	-
933000	Training	-
934000	Security	-
935000	Facilities Operations	-
936000	Utilities	-
938000	Contracted Services	102,925
940000	Consulting and Professional Services - County Provided	-
943000	Information Technology (IT)	102,925
945000	Major Equipment	-
950000	Other Items of Expense	-
972000	Other	-
973000	Debt Service	-
983000	Court Construction	-
990000	Distributed Administration & Allocation	-
Total		514,625

A specific funding and expenditure schedule identifying the amounts related to the proposal to be contributed and expended, by fiscal year

Description	FY 2018-19 ▼	FY 2019-20 ▼	FY 2020-21 ▼	FY 2021-22 ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Total
Contribution	514,625	-							514,625
Expenditures	-	205,850	154,388	154,388					514,625
Cumulative Balance	514,625	308,775	154,388	-	-	-	-	-	-

A specific funding and expenditure schedule identifying the amounts related to the proposal to be contributed and expended, by fiscal year

Original Request:

Description	FY 2016-17 ▼	FY 2017-18 ▼	FY 2018-19 ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Total
Contribution									-
Expenditures									-
Cumulative Balance	-	-	-	-	-	-	-	-	-

Amended request

Description	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Select Fiscal Year ▼	Total
Contribution									-
Expenditures									-
Cumulative Balance	-	-	-	-	-	-	-	-	-

APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT

Please check the type of request:

☐ **NEW REQUEST** (Complete Section I, III, and IV only.)☒ **AMENDED REQUEST** (Complete Sections I through IV.)**SECTION I: GENERAL INFORMATION****SUPERIOR COURT:**

Sutter

PERSON AUTHORIZING REQUEST (Presiding Judge or Court Executive Officer):
Stephanie M. Hansel, Court Executive Officer**CONTACT PERSON AND CONTACT INFO:** Joe Azevedo, Court Fiscal Officer,
(530) 822-3340; jazevedo@suttercourts.com**DATE OF SUBMISSION:**

2/18/2020

**TIME PERIOD COVERED BY THE
REQUEST, INCLUDING CONTRIBUTION
AND EXPENDITURE: FISCAL YEARS
2018-2019 THROUGH 2020-21****REQUESTED AMOUNT:**

\$245,112.00

REASON FOR REQUEST (Please briefly summarize the purpose for this request, including a brief description of the project/proposal. Use attachments if additional space is needed.):

The Court is requesting that an additional \$70,112, for a total of \$245,112, be held on behalf of the Court, to stagger identified savings to replace our aging IT infrastructure and implement other technological enhancements.

The Court is requesting a change in the timeline to spend these monies.

SECTION II: AMENDED REQUEST CHANGES**A. Identify sections and answers amended.**

Sections 1 and 4.

B. Provide a summary of the changes to the request.

The Court has identified additional savings that it would like to use to replace our aging IT infrastructure. The projected expense of replacing the current infrastructure is likely to be between \$150,000 and \$200,000. Remaining funds will be used for other technological enhancements, such as enhanced digital signage in public areas, self-serve payment and printing kiosks, and/or enhanced online services and interactivity.

Due to limited Court IT resources performing other mission critical work, the Court respectfully requests changing the timeline to spend funds held on behalf of the Court from FY 2019-20 to FY 2020-21.

SECTION III: TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE**A. Explain why the request does not fit within the court's annual operational budget process and the three-year encumbrance term.**

Initial projections show that replacing our IT infrastructure, including servers and the software and licenses needed to operate them, will cost the Court a minimum of \$150,000 and likely closer to \$200,000. The Court does not have the funding necessary to replace our IT infrastructure in one fiscal year. Holding any identified savings this fiscal year will help the Court save money for the anticipated purchases in 1-2 years.

APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT (Continued)

SECTION III (continued): TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE

B. How will the request enhance the efficiency and/or effectiveness of court operations, and/or increase the availability of court services and programs?

The requested funds will be used in conjunction with future monies to purchase IT hardware required to sustain all court services, including juror services and applications, our public website, security applications to protect from and detect information security breaches, our AD domain infrastructure, file servers, backup servers, eWarrant services, print services, building system control servers, management and workflow automation applications, email, and so on. This allows the Court to save over multiple fiscal years for a known expense as opposed to impacting a single budget year with a high-dollar expenditure.

C. If a cost efficiency, please provide cost comparison (table template provided).

N/A

D. Describe the consequences to the court's operations if the court request is not approved.

If the request is not approved, the Court would be forced to rely on aging infrastructure that will eventually fail, at which time all court operations would be negatively impacted. An expenditure this large in a single budget year would impact hiring and negotiations and could potentially result in employee lay-offs depending on budget conditions.

E. Describe the consequences to the public and access to justice if the court request is not approved.

Not approving the request would affect the ability to serve the public as longer wait times would occur due to computer delays and downtime as all information, including case files, are now electronic.

F. What alternatives has the court identified if the request is not approved, and why is holding funding in the TCTF the preferred alternative?

The court could not identify alternatives should the request not be approved. Holding funding in the TCTF is the only alternative.

SECTION IV: FINANCIAL INFORMATION

Please provide the following (*table template provided for each*):

A. Three-year history of year-end fund balances, revenues, and expenditures

See attachment.

B. Current detailed budget projections for the fiscal years the trial court would either be contributing to or receiving distributions from the TCTF fund balance held on the court's behalf

See attachment.

C. Identification of all costs, by category and amount, needed to fully implement the project

See attachment.

D. A specific funding and expenditure schedule identifying the amounts to be contributed and expended, by fiscal year

See revised attachment.

If a cost efficiency, please provide cost comparison

Status Quo					
GL Account	Description	Amount	Amount	Amount	Amount
N/A	Dedicated Revenue Stream (if applicable)				
900000	Salaries				
910000	Staff Benefits				
920001	General Expense				
924000	Printing				
925000	Telecommunications				
926000	Postage				
928000	Insurance				
929000	Travel in State				
931000	Travel Out of State				
933000	Training				
934000	Security				
935000	Facilities Operations				
936000	Utilities				
938000	Contracted Services				
940000	Consulting and Professional Services - County Provided				
943000	Information Technology (IT)				
945000	Major Equipment				
950000	Other Items of Expense				
972000	Other				
973000	Debt Service				
983000	Court Construction				
990000	Distributed Administration & Allocation				
Net Revenue (Expense)		-	-	-	-

Proposed Project					
GL Account	Description	Amount	Amount	Amount	Amount
N/A	Dedicated Revenue Stream (if applicable)				
900000	Salaries				
910000	Staff Benefits				
920001	General Expense				
924000	Printing				
925000	Telecommunications				
926000	Postage				
928000	Insurance				
929000	Travel in State				
931000	Travel Out of State				
933000	Training				
934000	Security				
935000	Facilities Operations				
936000	Utilities				
938000	Contracted Services				
940000	Consulting and Professional Services - County Provided				
943000	Information Technology (IT)				
945000	Major Equipment				
950000	Other Items of Expense				
972000	Other				
973000	Debt Service				
983000	Court Construction				
990000	Distributed Administration & Allocation				
Net Revenue (Expense)		-	-	-	-

Cumulative Cost Savings		-	-	-	-
-------------------------	--	---	---	---	---

If a cost efficiency, please provide cost comparison

Status Quo				
GL Account	Description	Amount	Amount	Amount
N/A	Dedicated Revenue Stream (if applicable)			
900000	Salaries			
910000	Staff Benefits			
920001	General Expense			
924000	Printing			
925000	Telecommunications			
926000	Postage			
928000	Insurance			
929000	Travel in State			
931000	Travel Out of State			
933000	Training			
934000	Security			
935000	Facilities Operations			
936000	Utilities			
938000	Contracted Services			
940000	Consulting and Professional Services - County Provided			
943000	Information Technology (IT)			
945000	Major Equipment			
950000	Other Items of Expense			
972000	Other			
973000	Debt Service			
983000	Court Construction			
990000	Distributed Administration & Allocation			
Net Revenue (Expense)		-	-	-

Proposed Project				
GL Account	Description	Amount	Amount	Amount
N/A	Dedicated Revenue Stream (if applicable)			
900000	Salaries			
910000	Staff Benefits			
920001	General Expense			
924000	Printing			
925000	Telecommunications			
926000	Postage			
928000	Insurance			
929000	Travel in State			
931000	Travel Out of State			
933000	Training			
934000	Security			
935000	Facilities Operations			
936000	Utilities			
938000	Contracted Services			
940000	Consulting and Professional Services - County Provided			
943000	Information Technology (IT)			
945000	Major Equipment			
950000	Other Items of Expense			
972000	Other			
973000	Debt Service			
983000	Court Construction			
990000	Distributed Administration & Allocation			
Net Revenue (Expense)		-	-	-

Cumulative Cost Savings		-	-	-
-------------------------	--	---	---	---

Prior three-year history of year-end fund balances, revenues, and expenditures

FY 2015-16 ▼	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
Beginning Balance	977,253	334,707	-					1,311,960
Revenues	5,723,681	323,995	429,965					6,477,641
Expenditures	5,565,616	283,564	493,303					6,342,483
Operating Transfers In (Out)	(63,338)	-	63,338					-
Ending Fund Balance	1,071,980	375,138	-	-	-	-	-	1,447,118

FY 2016-17 ▼	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
Beginning Balance	1,071,980	375,138	-					1,447,118
Revenues	5,618,206	333,642	394,278					6,346,126
Expenditures	6,146,961	446,518	420,723					7,014,202
Operating Transfers In (Out)	(26,445)	-	26,445					-
Ending Fund Balance	516,780	262,262	-	-	-	-	-	779,042

FY 2017-18 ▼	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
Beginning Balance	516,780	262,262	-					779,042
Revenues	5,827,185	337,881	375,146					6,540,212
Expenditures	5,871,311	337,297	421,075					6,629,683
Operating Transfers In (Out)	(82,139)	36,210	45,929					-
Ending Fund Balance	390,515	299,056	-	-	-	-	-	689,571

Current detailed budget projections for the fiscal years the trial court would either be contributing to or receiving distributions from the TCTF fund balance held on the cc

	FY 2018-19		FUNDS					
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
REVENUES								
State Financing Sources	6,537,652	39,882						6,577,534
Grants			426,621					426,621
Other Financing Sources	67,000	268,537						335,537
TOTAL REVENUES	6,604,652	308,419	426,621	-	-	-	-	7,339,692
EXPENDITURES								
Salaries	2,979,374	126,698	167,653					3,273,725
Staff Benefits	2,071,210	98,489	122,133					2,291,832
General Expense	153,788	12,900	600					167,288
Printing	6,140	5,300						11,440
Telecommunications	55,081							55,081
Postage	31,670	15,250						46,920
Insurance	3,600							3,600
Travel in State	2,811		3,381					6,192
Travel Out of State								-
Training	3,560		880					4,440
Security	198,967							198,967
Facilities Operations	29,653							29,653
Utilities								-
Contracted Services	811,542	19,500	99,432					930,474
Consulting and Professional Services - County Provided	9,800							9,800
Information Technology (IT)	265,303							265,303
Major Equipment								-
Other Items of Expense	700							700
Juror Costs	14,300							14,300
Other	50,000							50,000
Debt Service								-
Court Construction								-
Distributed Administration & Allocation			51,434					51,434
Prior Year Expense Adjustment								-
TOTAL EXPENDITURES	6,687,499	278,137	445,513	-	-	-	-	7,411,149
Operating Transfers In (Out)	(18,892)		18,892					-
Fund Balance (Deficit)								
Beginning Balance (Deficit)	390,515	299,056	-					689,571
Ending Balance (Deficit)	288,776	329,338	-	-	-	-	-	618,114

Current detailed budget projection on court's behalf

	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
REVENUES								
State Financing Sources								-
Grants								-
Other Financing Sources								-
TOTAL REVENUES	-	-	-	-	-	-	-	-
EXPENDITURES								
Salaries								-
Staff Benefits								-
General Expense								-
Printing								-
Telecommunications								-
Postage								-
Insurance								-
Travel in State								-
Travel Out of State								-
Training								-
Security								-
Facilities Operations								-
Utilities								-
Contracted Services								-
Consulting and Professional Services - County Provided								-
Information Technology (IT)								-
Major Equipment								-
Other Items of Expense								-
Juror Costs								-
Other								-
Debt Service								-
Court Construction								-
Distributed Administration & Allocation								-
Prior Year Expense Adjustment								-
TOTAL EXPENDITURES	-	-	-	-	-	-	-	-
Operating Transfers In (Out)								-
Fund Balance (Deficit)								
Beginning Balance (Deficit)	288,776	329,338	-	-	-	-	-	618,114
Ending Balance (Deficit)	288,776	329,338	-	-	-	-	-	618,114

Current detailed budget projection:

	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
REVENUES								
State Financing Sources								-
Grants								-
Other Financing Sources								-
TOTAL REVENUES	-	-	-	-	-	-	-	-
EXPENDITURES								
Salaries								-
Staff Benefits								-
General Expense								-
Printing								-
Telecommunications								-
Postage								-
Insurance								-
Travel in State								-
Travel Out of State								-
Training								-
Security								-
Facilities Operations								-
Utilities								-
Contracted Services								-
Consulting and Professional Services - County Provided								-
Information Technology (IT)								-
Major Equipment								-
Other Items of Expense								-
Juror Costs								-
Other								-
Debt Service								-
Court Construction								-
Distributed Administration & Allocation								-
Prior Year Expense Adjustment								-
TOTAL EXPENDITURES	-	-	-	-	-	-	-	-
Operating Transfers In (Out)								-
Fund Balance (Deficit)								
Beginning Balance (Deficit)	288,776	329,338	-	-	-	-	-	618,114
Ending Balance (Deficit)	288,776	329,338	-	-	-	-	-	618,114

Current detailed budget projection:

	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
REVENUES								
State Financing Sources								-
Grants								-
Other Financing Sources								-
TOTAL REVENUES	-	-	-	-	-	-	-	-
EXPENDITURES								
Salaries								-
Staff Benefits								-
General Expense								-
Printing								-
Telecommunications								-
Postage								-
Insurance								-
Travel in State								-
Travel Out of State								-
Training								-
Security								-
Facilities Operations								-
Utilities								-
Contracted Services								-
Consulting and Professional Services - County Provided								-
Information Technology (IT)								-
Major Equipment								-
Other Items of Expense								-
Juror Costs								-
Other								-
Debt Service								-
Court Construction								-
Distributed Administration & Allocation								-
Prior Year Expense Adjustment								-
TOTAL EXPENDITURES	-	-	-	-	-	-	-	-
Operating Transfers In (Out)								-
Fund Balance (Deficit)								
Beginning Balance (Deficit)	288,776	329,338	-	-	-	-	-	618,114
Ending Balance (Deficit)	288,776	329,338	-	-	-	-	-	618,114

Current detailed budget projection:

	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
REVENUES								
State Financing Sources								-
Grants								-
Other Financing Sources								-
TOTAL REVENUES	-	-	-	-	-	-	-	-
EXPENDITURES								
Salaries								-
Staff Benefits								-
General Expense								-
Printing								-
Telecommunications								-
Postage								-
Insurance								-
Travel in State								-
Travel Out of State								-
Training								-
Security								-
Facilities Operations								-
Utilities								-
Contracted Services								-
Consulting and Professional Services - County Provided								-
Information Technology (IT)								-
Major Equipment								-
Other Items of Expense								-
Juror Costs								-
Other								-
Debt Service								-
Court Construction								-
Distributed Administration & Allocation								-
Prior Year Expense Adjustment								-
TOTAL EXPENDITURES	-	-	-	-	-	-	-	-
Operating Transfers In (Out)								-
Fund Balance (Deficit)								
Beginning Balance (Deficit)	288,776	329,338	-	-	-	-	-	618,114
Ending Balance (Deficit)	288,776	329,338	-	-	-	-	-	618,114

Current detailed budget projection:

	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
REVENUES								
State Financing Sources								-
Grants								-
Other Financing Sources								-
TOTAL REVENUES	-	-	-	-	-	-	-	-
EXPENDITURES								
Salaries								-
Staff Benefits								-
General Expense								-
Printing								-
Telecommunications								-
Postage								-
Insurance								-
Travel in State								-
Travel Out of State								-
Training								-
Security								-
Facilities Operations								-
Utilities								-
Contracted Services								-
Consulting and Professional Services - County Provided								-
Information Technology (IT)								-
Major Equipment								-
Other Items of Expense								-
Juror Costs								-
Other								-
Debt Service								-
Court Construction								-
Distributed Administration & Allocation								-
Prior Year Expense Adjustment								-
TOTAL EXPENDITURES	-	-	-	-	-	-	-	-
Operating Transfers In (Out)								-
Fund Balance (Deficit)								
Beginning Balance (Deficit)	288,776	329,338	-	-	-	-	-	618,114
Ending Balance (Deficit)	288,776	329,338	-	-	-	-	-	618,114

Current detailed budget projection:

	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
REVENUES								
State Financing Sources								-
Grants								-
Other Financing Sources								-
TOTAL REVENUES	-	-	-	-	-	-	-	-
EXPENDITURES								
Salaries								-
Staff Benefits								-
General Expense								-
Printing								-
Telecommunications								-
Postage								-
Insurance								-
Travel in State								-
Travel Out of State								-
Training								-
Security								-
Facilities Operations								-
Utilities								-
Contracted Services								-
Consulting and Professional Services - County Provided								-
Information Technology (IT)								-
Major Equipment								-
Other Items of Expense								-
Juror Costs								-
Other								-
Debt Service								-
Court Construction								-
Distributed Administration & Allocation								-
Prior Year Expense Adjustment								-
TOTAL EXPENDITURES	-	-	-	-	-	-	-	-
Operating Transfers In (Out)								-
Fund Balance (Deficit)								
Beginning Balance (Deficit)	288,776	329,338	-	-	-	-	-	618,114
Ending Balance (Deficit)	288,776	329,338	-	-	-	-	-	618,114

Current detailed budget projection:

	FUNDS							
Description	General	Special Revenue Non-Grant	Special Revenue Grant	Capital Projects	Debt Service	Proprietary	Fiduciary	TOTAL
REVENUES								
State Financing Sources								-
Grants								-
Other Financing Sources								-
TOTAL REVENUES	-	-	-	-	-	-	-	-
EXPENDITURES								
Salaries								-
Staff Benefits								-
General Expense								-
Printing								-
Telecommunications								-
Postage								-
Insurance								-
Travel in State								-
Travel Out of State								-
Training								-
Security								-
Facilities Operations								-
Utilities								-
Contracted Services								-
Consulting and Professional Services - County Provided								-
Information Technology (IT)								-
Major Equipment								-
Other Items of Expense								-
Juror Costs								-
Other								-
Debt Service								-
Court Construction								-
Distributed Administration & Allocation								-
Prior Year Expense Adjustment								-
TOTAL EXPENDITURES	-	-	-	-	-	-	-	-
Operating Transfers In (Out)								-
Fund Balance (Deficit)								
Beginning Balance (Deficit)	288,776	329,338	-	-	-	-	-	618,114
Ending Balance (Deficit)	288,776	329,338	-	-	-	-	-	618,114

Identification of all costs, by category and amount, needed to fully implement the project

Expenses Category		Amount
GL Account	Description	
900000	Salaries	
910000	Staff Benefits	
920001	General Expense	
924000	Printing	
925000	Telecommunications	
926000	Postage	
928000	Insurance	
929000	Travel in State	
931000	Travel Out of State	
933000	Training	
934000	Security	
935000	Facilities Operations	
936000	Utilities	
938000	Contracted Services	
940000	Consulting and Professional Services - County Provided	
943000	Information Technology (IT)	55,000
945000	Major Equipment	200,000
950000	Other Items of Expense	
972000	Other	
973000	Debt Service	
983000	Court Construction	
990000	Distributed Administration & Allocation	
Total		255,000

A specific funding and expenditure schedule identifying the amounts related to the proposal to be contributed and expended, by fiscal year

Description	FY 2018-19 ▼	FY 2019-20 ▼	FY 2020-21 ▼	▼	▼	▼	▼	▼	Total
Contribution	50,000								50,000
Expenditures			50,000						50,000
Cumulative Balance	50,000	50,000	-	-	-	-	-	-	-

A specific funding and expenditure schedule identifying the amounts related to the proposal to be contributed and expended, by fiscal year

Original Request:

Description	FY 2018-19 ▼	FY 2019-20 ▼	FY 2020-21 ▼	▼	▼	▼	▼	▼	Total
Contribution	50,000								50,000
Expenditures			50,000						50,000
Cumulative Balance	50,000	50,000	-	-	-	-	-	-	-

Amended request

Description	FY 2018-19 ▼	FY 2019-20 ▼	FY 2020-21 ▼	▼	▼	▼	▼	▼	Total
Contribution	245,112								245,112
Expenditures		-	245,112						245,112
Cumulative Balance	245,112	245,112	-	-	-	-	-	-	-

APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT

Please check the type of request:

☐ **NEW REQUEST** *(Complete Section I, III, and IV only.)*

☒ **AMENDED REQUEST** *(Complete Sections I through IV.)*



SECTION I: GENERAL INFORMATION

SUPERIOR COURT:

Kern

PERSON AUTHORIZING REQUEST *(Presiding Judge or Court Executive Officer):*
Tamarah Harber-Pickens, Court Executive Officer

CONTACT PERSON AND CONTACT INFO:

Travis Andreas, Deputy CEO – Finance travis.andreas@kern.courts.ca.gov

DATE OF SUBMISSION:

04/16/20120

TIME PERIOD COVERED BY THE REQUEST, INCLUDING CONTRIBUTION AND EXPENDITURE: 2021-2022

REQUESTED AMOUNT:

\$ 676,688

REASON FOR REQUEST *(Please briefly summarize the purpose for this request, including a brief description of the project/proposal. Use attachments if additional space is needed.):*

The Superior Court, County of Kern, entered into a contract with Tyler Technologies, Inc. to replace its antiquated, legacy case management system provided by the County for the last 30-years. The intent was that the new system would enhance court operations by providing a single case management system for all case types improving the operations of the Court, providing for a fully integrated system using new technology including digital file storage, e-filing, and other similar state-of-the-art enhancements. Other courts, as well as Kern, have not received the expected service level from Tyler for some time. This issue is expected only to continue. Furthermore, the County of Kern is stalling on making a decision as to whether to migrate to the Tyler case management system. The road-blocks mentioned stalled the conversion project, and the Court is exploring various ways to move forward, possibly with a new vendor.

It is respectfully requested that the Superior Court, County of Kern, be allowed to carryover funds held to use for the continued conversion of the case management system.

SECTION II: AMENDED REQUEST CHANGES

A. Identify sections and answers amended.

Amendment 5 -Section I - REQUESTED AMOUNT (was \$677,378 less: \$0 spent = \$676,688)

Amendment 4 -Section I - REQUESTED AMOUNT (was \$677,378 less: \$690 spent = \$676,688)

Amendment 3 -Section I - REQUESTED AMOUNT (was \$677,378 less: \$0 spent = \$677,378)

Amendment 2 -Section I - REQUESTED AMOUNT (was \$830,528 less: \$153,150 spent = \$677,378)

Amendment 1 -Section I - REQUESTED AMOUNT (was \$895,286 less: \$64,758 = \$830,528)

B. Provide a summary of the changes to the request.

Generally, the changes have been to extend the time frame for use of funds held.

SECTION III: TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE

A. Explain why the request does not fit within the court's annual operational budget process and the three-year encumbrance term.

The Superior Court, County of Kern, like many other courts in California, was anticipating the provision of a new case management system with the launch of CCMS. With the demise of this project, the Court utilized its reserve balances to fund a vendor solution based on a recently approved MSA. The MSA provided for case management solutions from four approved vendors, including Tyler Technologies, Inc. These one-time funding resources were accumulated from operational savings accrued over the years and would be impossible to replace in the short term. To replace the encumbered funds, the Court would be required to implement reductions in staffing and service levels to save the necessary resources from operational budgets, on top of what we expect the budget fallout due to COVID-19.

APPLICATION FOR TCTF FUNDS HELD ON BEHALF OF THE COURT (Continued)

SECTION III (continued): TRIAL COURT OPERATIONS AND ACCESS TO JUSTICE

B. How will the request enhance the efficiency and/or effectiveness of court operations, and/or increase the availability of court services and programs?

A new case management system will have a significant operational impact on the courts. The new system will include e-filing capabilities, integration with a digital document management system, and other similar functionality that have been proven by other Courts in California and the United States to improve efficiency and effectiveness of court operations. Reporting capabilities will also be greatly enhanced.

C. If a cost efficiency, please provide cost comparison (table template provided).

N/A

D. Describe the consequences to the court's operations if the court request is not approved.

The Court would not be able to complete the second phase of the Case Management System for the installation of the Criminal, Juvenile and Traffic components of the system. This would amount to a lack of organizational effectiveness due to the fact that there are efficient connectivity and services that we are not able to access. This ultimately limits access to justice, which hinders the Court's operational mission.

E. Describe the consequences to the public and access to justice if the court request is not approved.

Current case management systems do not provide for e-filing or digital document storage. Thus, court users will not be able to access court documents and other case information without the necessity of personal visits to court. This means that some parties would have to travel four or more hours round trip. This will limit access to justice.

F. What alternatives has the court identified if the request is not approved, and why is holding funding in the TCTF the preferred alternative?

Maintain the current system that is costing the court in excess of \$1/2 million in annual transaction fees paid to the County of Kern for maintenance of the legacy case management system. Also, the current system does not have robust reporting capabilities which limits the efficacy of staff time.

SECTION IV: FINANCIAL INFORMATION

Please provide the following (*table template provided for each*):

A. Three-year history of year-end fund balances, revenues, and expenditures

N/A

B. Current detailed budget projections for the fiscal years the trial court would either be contributing to or receiving distributions from the TCTF fund balance held on the court's behalf

N/A

C. Identification of all costs, by category and amount, needed to fully implement the project

N/A

N/A

D. A specific funding and expenditure schedule identifying the amounts to be contributed and expended, by fiscal year

N/A

Summary of Recommended Process, Criteria, and Required Information for Trial Court Trust Fund Fund Balance Held on Behalf of the Courts

Recommended Process for Trial Court Trust Fund Fund Balance Held on Behalf of the Courts

1. Trial Court Trust Fund fund balance will be held on behalf of trial courts only for expenditures or projects that cannot be funded by a court's annual budget or three-year encumbrance term and that require multiyear savings to implement.
 - a. Categories or activities include, but are not limited to:
 - i) Projects that extend beyond the original planned three-year term process such as expenses related to the delayed opening of new facilities or delayed deployment of new information systems;
 - ii) Technology improvements or infrastructure such as installing a local data center, data center equipment replacement, case management system deployment, converting to a VoIP telephone system, desktop computer replacement, and replacement of backup emergency power systems;
 - iii) Facilities maintenance and repair allowed under rule 10.810 of the California Rules of Court such as flooring replacement and renovation as well as professional facilities maintenance equipment;
 - iv) Court efficiencies projects such as online and smart forms for court users and RFID systems for tracking case files; and
 - v) Other court infrastructure projects such as vehicle replacement and copymachine replacement.
2. The submission, review, and approval process is as follows:
 - a. All requests will be submitted to the Judicial Council for consideration.
 - b. Requests will be submitted to the *director of Budget Services* by the court's presiding judge or court executive officer.
 - c. *Budget Services* staff will review the request, ask the court to provide any missing or incomplete information, draft a preliminary report, share the preliminary report with the court for its comments, revise as necessary, and issue the report to the *Fiscal Planning Subcommittee* of the Trial Court Budget Advisory Committee (TCBAC); the *subcommittee* will meet to review the request, hear any presentation of the court representative, and ask questions of the representative if one participates on behalf of the court; and *Budget Services* office staff will issue a final report on behalf of the *subcommittee* for the council.
 - d. The final report to the *subcommittee* and the Judicial Council will be provided to the requesting court before the report is made publicly available on the California Courts website.
 - e. The court may send a representative to the *subcommittee* and Judicial Council meetings to present its request and respond to questions.

3. To be considered at a scheduled Judicial Council business meeting, requests must be submitted to the *director of Budget Services* at least 40 business days (approximately eight weeks) before that business meeting.
4. The Judicial Council may consider including appropriate terms and conditions that courts must accept for the council to approve designating TCTF fund balance on the court's behalf.
 - a. Failure to comply with the terms and conditions would result in the immediate change in the designation of the related TCTF fund balance from restricted to unrestricted and no longer held on behalf of the court unless the council specifies an alternative action.
5. Approved requests that courts subsequently determine need to be revised to reflect a change (1) in the amounts by year to be distributed to the court for the planned annual expenditures and/or encumbrances, (2) in the total amount of the planned expenditures, or (3) of more than 10 percent of the total request among the categories of expense will need to be amended and resubmitted following the submission, review, and approval process discussed in 1–3 above.
 - a. Denied revised requests will result in the immediate change in the designation of the related TCTF fund balance from restricted to unrestricted and no longer held on behalf of the court unless the council specifies an alternative action.
6. Approved requests that courts subsequently determine have a change in purpose will need to be amended and resubmitted following the submission, review, and approval process discussed in 1–3 above, along with a request that the TCTF funds held on behalf of the court for the previously approved request continue to be held on behalf of the court for this new purpose.
 - a. Denied new requests tied to previously approved requests will result in the immediate change in the designation of the related TCTF fund balance from restricted to unrestricted and no longer held on behalf of the court unless the council specifies an alternative action.
7. On completion of the project or planned expenditure, courts are required to report to the Trial Court Budget Advisory Committee within 90 days on the project or planned expenditure and how the funds were expended.
8. As part of the courts' audits in the scope of the normal audit cycle, a review of any funds that were held on behalf of the courts will be made to confirm that they were used for their stated approved purpose.

Recommended Criteria for Eligibility for TCTF Fund Balance Held on Behalf of the Courts

TCTF fund balance will be held on behalf of the trial courts only for expenditures or projects that cannot be funded by the court's annual budget or three-year encumbrance term and that require multiyear savings to implement.

Recommended Information Required to Be Provided by Trial Courts for TCTF Fund Balance Held on Behalf of the Courts

Below is the information required to be provided by trial courts on the *Application for TCTF Funds Held on Behalf of the Court*:

SECTION I

General Information

- Superior court
- Date of submission
- Person authorizing the request
- Contact person and contact information
- Time period covered by the request (includes contribution and expenditure)
- Requested amount
- A description providing a brief summary of the request

SECTION II

Amended Request Changes

- Sections and answers amended
- A summary of changes to request

SECTION III

Trial Court Operations and Access to Justice

- An explanation as to why the request does not fit within the court's annual operational budget process and the three-year encumbrance term
- A description of how the request will enhance the efficiency and/or effectiveness of court operations, and/or increase the availability of court services and programs
- If a cost efficiency, cost comparison (*table template provided*)
- A description of the consequences to the court's operations if the court request is not approved
- A description of the consequences to the public and access to justice if the court request is not approved
- The alternatives that the court has identified if the request is not approved, and the reason why holding funding in the TCTF is the preferred alternative

SECTION IV**Financial Information**

- Three-year history of year-end fund balances, revenues, and expenditures (*table template provided*)
- Current detailed budget projections for the fiscal years during which the trial court would either be contributing to the TCTF fund balance held on the court's behalf or receiving distributions from the TCTF fund balance held on the court's behalf (*table template provided*)
- Identification of all costs, by category and amount, needed to fully implement the project (*table template provided*)
- A specific funding and expenditure schedule identifying the amounts to be contributed and expended, by fiscal year (*table template provided*)